



IIMTS
Awarding Body

IIMT STUDIES LTD **CENTRE POLICY**

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Complaints and Appeals Policy

Policy Compliance:

This policy complies with
Ofqual, Handbook- General Conditions of Recognition

II1 Appeals Process

II2 Compliance with Ofqual's appeals and complaints process



Awarding Quality Qualifications through Global Recognition

Document Code No. IIMTS_AO_OGCR_CIRA_01_2020

Title of the Policy: Complaints and Appeals Policy	Authorised by Responsible Officer	Created: Version 1 1 November 2023
Conditions of Recognition: General Conditions of Recognition		Current version: 3 Next Review Date: 1 April 2026

Important contact-

Any query or concern related to this policy may be directly addressed to the Responsible Officer-

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Awarding body:
IIMT Studies Ltd- www.iimtsab.co.uk

Acronym used to represent IIMT Studies Ltd (IIMT Studies):
IIMTS AB

Regulating Body:
OFQUAL

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(A) Policy Code: IIMTS_AO_OGCR_CIRA_01_2020

(B) Policy Statement:

IIMT Studies, in order to remain compliant with the conditions of recognition and for the effective and efficient management of complaints and appeals, sets out this transparent policy and procedures for centres and learners for guidance, where learners may wish to raise a complaint or a concern/query in regard to the product and/or services provided by IIMT Studies as an awarding organisations and/or its approved Centre.

Where IIMT Studies, in this policy, provides the guidance and steps to follow in case of complaint and appeals, all centres approved by IIMT Studies are required to have their own internal complaints and appeals procedures for their learners to refer to regarding any complaint they wish to refer. With that, this policy sets out the steps to follow if learners are not satisfied with the Centre's complaint and appeals procedure to bring it to the attention of IIMT Studies.

(C) Policy Scope:

This policy explains the process for receiving, addressing, and resolving complaints and appeals within IIMT Studies and its recognised centres, aligned with regulatory requirements. The scope of this policy is applicable to both internal and external stakeholders, including learners, recognised centres, staff, and all stakeholders associated with IIMT Studies.

(D) Objectives of Policy:

- Ensure compliance with the conditions of recognition set by regulatory bodies, for effective management of complaints and appeals as an awarding organisation
- Provide transparent guidance and a structured policy framework for centres and learners to access the complaints and appeals process effectively
- Encourage learners to raise potential concerns, raise complaints, or seek clarification regarding IIMT Studies' products and services, encouraging transparency and accountability in the centres recognised by IIMT Studies
- Encourage all approved centres to establish clear and transparent internal complaints and appeals procedures, ensuring an accessible mechanism for learners
- Standardisation and formalisation of the process for receiving, addressing, and resolving complaints and appeals across IIMT Studies and its recognised centres
- Ensuring transparency and fairness throughout the complaints and appeals procedures
- Align all aspects of the policy and procedures with regulatory requirements, ensuring compliance with established standards and conditions of recognition
- Ensuring effective and timely resolution of complaints and appeals

- Establishing continuous improvement within IIMT Studies by reviewing and enhancing organisational practices based on findings from the complaints and appeals process
- Protect the interests of learners in compliance with the conditions of recognition
- Explain steps for learners who are dissatisfied with the Centre's complaints and appeals procedures, guiding them on the appropriate pathway to bring their concerns to the attention of IIMT Studies.
- Ensuring that records are always maintained in compliance with regulatory standards.

(E) Policy Framework:

Complaint Procedure:

Complaint: Making a formal application/reporting an instance, based on a dissatisfaction/violation/non-compliance/abuse/identification or a non-receipt of the committed services, to achieve an objective/a set of objectives, as prescribed in the policies, criteria of qualifications and conditions of recognition of Ofqual. Any complaint related to any issue has to be reported in writing via email at info@iimtsab.co.uk or via post at:

IIMT Studies Ltd
 Havelock Hub
 14 Havelock Place
 Harrow
 London
 HA1 1LJ
 United Kingdom

Upon receipt of the complaint, IIMT Studies will immediately acknowledge receipt in the next 24 working hours.

Appointing an investigation officer:

Upon the receipt of the complaint, IIMT Studies will investigate the nature of the complaint, and the investigation team will respond in full within a business week. During this, a complainant will receive the progress of the investigation in various stages. Depending on the nature of the complaint, should we require further time to investigate, the appointed investigating officer/a member of the investigating team, on the gravity of the issue, shall update the complainant.

Common grounds of investigation exercise:

- Formal interaction with stakeholders involved in the raised issue
- Validating claims and fact-finding based on evidence available supporting the issue
- Analysis of data, facts, and information gathered
- Cross-examining witnesses of all parties or stakeholders involved
- Inspecting and visiting sites of incidents if required

In the event that any aspect of the complaint is substantiated, IIMT Studies is committed to providing a reply to the complainant. We consider this an opportunity to serve our

stakeholders. This review may allow us to examine our processes to evaluate their influence on qualification development, delivery, awarding arrangements, and, when applicable, assessment procedures.

Additionally, we may initiate staff training initiatives to address identified areas for improvement. In cases of severe misconduct or inappropriate behaviour by our staff, internal disciplinary measures or other relevant procedures may be implemented to ensure the standards and integrity of our organisation.

In instances where a complaint is substantiated or an investigation prompted by regulatory notification reveals a lapse in our processes, we will assess the implications and undertake appropriate measures, including but not limited to:

- Identifying any additional learners affected by the identified failure
- Rectifying the failure directly or, if correction is unfeasible, mitigating its impact to the greatest extent possible
- Implementing measures to prevent the recurrence of the identified failure in the future
- Ensuring to have improvised with our practices and implement them as a part of our regular policy and procedure
- Notify the regulatory authority and stakeholders related to the issue in accordance with the corrective actions taken

In the event of dissatisfaction with the decision, the Chief Executive Officer will oversee the complaints procedure. Should the complainant find the outcome still unsatisfactory, they may, where applicable, pursue the matter through the mentioned Appeal procedure.

Appeal Procedure:

In this policy, the appeal involves an application to request a formal change to an official decision.

All IIMT Studies recognised centres are required to have their own process for enquiries and appeals, which should be made available to all learners. This clear guideline process is mandatory to have in place for the conditions of recognition. It helps learners to appeal against assessment decisions if they wish to. The said guidelines should include-

- The method of enquiring and/or appeal is to be made
- The escalation matrix of appeal at different stages
- Identification of a person/team who will be responsible for receiving an enquiry or appeal
- Appoint an independent and objective appeal panel to investigate and/or make the decision as to the enquiry or appeal
- The timeframe for dealing with the appeal, considering the timescale given by IIMT Studies
- Publish the process in the public domain so that all learners are well aware of the process

In order to comply with the conditions of recognition, it is mandatory to keep the Conflict of Interest in mind while appointing the staff related to the investigation. The timeframes must

be clearly mentioned as to the IIMT Studies timescales. While IIMT Studies outlines the appeal process, the following is required to be the investigation format-

- The investigation team is independent and objective
- The Conflict of Interest policy is kept in mind while forming a team/assigning a person for investigation
- Timescales are matched to the IIMT Studies with timescales
- All evidence is recorded and kept securely
- IIMT Studies is notified of the progress of an appeal

IIMT Studies acts as a responsible awarding organisation and ensures compliance with all regulatory requirements while outlining the appeal processes. In case appeals filed challenging a decision made by IIMT Studies will be addressed through the appeals procedure, concentrating on evaluating whether IIMT Studies followed procedures consistent with regulatory requirements and applied them appropriately and fairly in making decisions.

Appeals made against the decision taken by IIMT Studies will have to go through various stages and will focus on IIMT Studies Ltd.

- Followed consistent procedures as prescribed by the regulators in conditions of recognition
- Made a fair application of the procedures and arrived at the judgments based on the applications
- Communicated any arrived judgments to the complainant.

Appeals can be requested by a learner/group of learners/Centre

against:

- Any decision made against assessment marking, award or certificate
- Applied adjustments following the policy of special consideration and reasonable adjustments
- Decisions taken on any finding of malpractice, maladministration or any non-compliance
- Any decisions taken against the complaint made
- A decision taken for a specific learner, which is the same instance as the other learner for which the decision was taken earlier, to appeal the results
- Decisions regarding reasonable adjustments and special consideration
- Decisions relating to any action to be taken against a learner or a centre following an investigation into malpractice or maladministration

There are three stages of the appeal process-

Stage- 1	Appeals investigated by an Internal Appeals Panel
	Outcome timeline in 7 business days Communicate with the Head of the Centre

	Report the timeline in 20 business days and communicate with the Head of the Centre
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Stage- 2	Appeals investigated by an External Appeal Panel
	Outcome timeline in 7 business days Communicate with the Head of the Centre
	Report timeline in 20 business days and communicate with the Head of the Centre
Stage- 3	Appeals investigated by an Independent Appeals Panel
	Outcome timeline in 7 business days Communicate with the Head of the Centre
	Report timeline in 20 business days and communicate with the Head of the Centre

Stage- 1- Appeals investigated by an Internal Appeals Panel

During this phase of the process, an investigation of the appeal will be made by the Internal Appeals Panel. The team will comprise senior IIMT Studies staff, an independent member, and a senior associate with expertise in the relevant qualification. This panel will assess the appeal's nature and determine if additional investigative efforts are necessary based on the presented evidence. In most enquiries or appeals instances, resolutions can be reached at this stage.

Upon concluding the review, IIMT Studies will promptly communicate the appeal's outcome to the Head of the Centre/quality representative nominated by the Centre within seven working days following the Appeals Panel meeting. A report summarising the review, findings, and decisions will be forwarded to the Head of the Centre or their representative within 20 days of the appeal hearing. The report will include the following parameters:

Nature of the Appeal:

The specific details and grounds of the appeal were thoroughly examined and documented.

Evidence Analysis:

On what ground has the panel scrutinised all the provided evidence to assess its relevance and credibility in the context of the appeal?

Further Work Authorisation:

Further work authorisations, or any additional investigations or actions, are to be warranted to address the appeal effectively.

Resolution:

The report will outline the panel's findings and decisions, including any corrective measures or actions to be taken.

Communication:

Centres will be communicated.

Regulatory Compliance:

The report will be submitted to regulatory authorities using proper communication channels.

Stage- 2- Appeals investigated by an External Appeals Panel

Depending on the Centre or learners being dissatisfied with the outcome and resolution taken by the Internal Appeal Panel, they may wish to apply for the stage 2 appeal decision that will be conducted by an External Appeals Panel. The stage 2 appeal can only be made if the stage 1 appeal panel has made a decision in the said enquiry or appeal.

The panel will consist of three members, out of whom one will be an independent member who had no involvement in the previous appeal decision regarding the said enquiry or appeal for making a decision.

The panel members will consist of a senior management staff of IIMT Studies, an independent member of the Board of Governors and an external associate of IIMT Studies.

The decision taken will be based on majority voting. The outcome of the review will be communicated to the Centre head or the centre representative as per the prescribed timeframe of 7 working days, and the report will be submitted to the Centre in 20 working days. The report will include the following parameters:

Overview of Stage 1 Appeal Outcomes:

A brief recap of decisions made by the Internal Appeals Panel in Stage 1. It remains clarified that the Stage 2 appeal is pursued as Stage 1 decisions are unsatisfactory.

Composition of the External Appeals Panel:

Clarification of the three-panel members' roles, strongly emphasising the independence of decisions taken in the stage 2 panel.

Case review:

Explaining the panel's findings and care review outcomes.

Communication:

Centres will be communicated.

Regulatory Compliance:

The report will be submitted to regulatory authorities using proper communication channels.

Stage 3 Appeals investigated by an Independent Appeals Panel

Should Stages 1 and 2 of the appeals process decisions not result in satisfactory resolution, the option of Stage 3 arises, where the case will be presented before an Independent Appeals Panel, which includes members from the Board of Governors and other independent assessment experts, for a fair decision in regard to the said case.

The chair of the Independent Appeals Panel will review the case for Stage 3, provided that IIMT Studies has completed its Stage 2 appeal process. The chair will decide whether there is a valid appeal, and the appellant will receive notification within 20 days of acceptance or rejection. If accepted, the Independent Appeals Panel will be formed, and the case will be heard.

Upon acceptance of the case, the Independent Appeals Panel at Stage 3 will closely review all evidence presented during Stages 1 and 2, focusing on assessing whether IIMT Studies has consistently and fairly applied its procedures in line with established policies and regulatory requirements. This being the third stage of appeal, it remains rigorous. The independent review may also involve discussions with the Centre, the learner, and IIMT Studies personnel, as well as requests for additional information. If necessary, authorised IIMT Studies personnel may also conduct a visit to the Centre.

Stage 3 remains the final phase of the appeals process, providing a conclusive decision regarding the initial appeal's outcome. The Independent Appeals Panel will communicate the outcome to both parties within seven calendar days and furnish a detailed report within 28 calendar days of the hearing.

In cases where the outcome of an appeal or enquiry against an assessment decision affects the accuracy of results for other learners/groups of learners in the same cohort, the personnel involved in the review will determine whether reassessment of all affected assessments is warranted.

Record updates:

Following an enquiry or appeal, IIMT Studies will make necessary amendments to Centre and/or learner records to ensure accuracy and alignment with Ofqual standards and conditions of recognition.

Fee:

To cover the administration and personnel costs, the fee will be charged if the centre visit is commenced.

Appeal Outcomes:

There may be circumstances where an enquiry or appeal reaches the last stage of appeal, where an independent appeals panel will make judgments. This is the third and final stage of appeal, and this stage remains final for all appeals.

Depending on appeal or enquiry outcomes, if any outcome raises a question on the validity of results that potentially can affect other learners and/or raises a question on the validity of a qualification, IIMT Studies remains obligated and ensures to take all appropriate steps to protect the interests of learners and maintain the integrity and validity of the qualification.

Appeal outcomes will be reported to Ofqual through a communication channel prescribed by Ofqual. IIMT Studies will ensure that any events that raise a question on the validity of results and/or qualifications are recorded and corrected. Additionally, IIMT studies will ensure the interests of learners are protected at all times.

Appeal form

All details are compulsory. Please fill in all information before you submit the form to IIMT Studies.

The form can be submitted with complete details to info@iimtstudies.co.uk, or can be sent through the post at

[IIMT Studies Ltd]
Company number 11649333

Registered office address
[Havelock Hub
14 Havelock Place
Harrow
London
HA1 1LJ
Ph- +44-7466650066
Email- info@sab.co.uk
Website- www.iimtsab.co.uk]

Please note that the appeal must be submitted to IIMT Studies within **45 business days** of receiving the decision that is being contested.

General details

Name of Centre

Centre Code

Learner's full name

Details of the Issue

Decision date you wish to appeal

Details regarding the decision you wish to appeal against

Criteria under which you wish to appeal

1. Concern in regard to the application of procedures applied unfairly in arriving at the decision (unfairly applied procedures in arriving at the decision)
2. Concern in regard to the procedures not being consistent as to regulatory criteria (non-consistency in IIMT Studies procedures as to regulatory requirements)

List of supporting documents/evidence you wish to submit along with this form to support your appeal

1.

2.

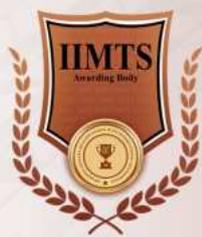
3.

4.

5.

Signature:

Date:



IIMTS
Awarding Body

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14 Havelock Place
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HA1 1LJ
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